

12/12/00  
1c975 U.S. PTO

12-13-00

BAKER BOTTS LLP

30 ROCKEFELLER PLAZA  
44TH FLOOR  
NEW YORK, NEW YORK  
10112-4498  
212.705.5000  
FAX 212.705.5020

AUSTIN  
BAKU  
DALLAS  
HOUSTON  
LONDON  
MOSCOW  
NEW YORK  
WASHINGTON

Appln. Trans.  
PATENT

UTILITY PATENT  
APPLICATION  
TRANSMITTAL

(Only for new nonprovisional  
applications under 37 CFR 1.53(b))

Attorney Docket No. A33025-066680.0111

First Named Inventor Richard Barrington

Express Mail Label No. EK839855400US

1c975 U.S. PTO  
09/734746  
12/12/00

BY EXPRESS MAIL - Label No. EK839855400US

December 12, 2000

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

Sir:

Enclosed herewith for filing is a patent application of Richard Barrington, et al. entitled **PROCESS, SYSTEM AND FINANCIAL PLANNING ENGINE FOR DETERMINING AT LEAST ONE FINANCIAL INDICATOR FOR USE IN ACHIEVING A PARTICULAR FINANCIAL GOAL** which includes:

[x] Specification 16 Total Pages  
[x] Claims 8 Total Pages  
[x] Abstract 1 Total Pages  
[x] Drawing(s) 7 Total Sheets  
       formal  
       informal

[x] Combined Declaration and Power of Attorney 3 Total Pages  
    [x] Newly executed (original or copy)  
    [] Copy from a prior application  
        (for continuation/divisional only - must be filed to avoid surcharge for late filing)

If a continuing application, check appropriate box:

[] Continuation      [] Divisional      [] Continuation-In-Part (CIP)  
    of prior application No.       

[] Amend the specification by inserting, before the first line, the following sentence:

"This is a      [] continuation    [] divisional    [] continuation-in-part  
of copending application Serial No.    filed   ."

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- ☒ An Assignment of the invention to MANNING & NAPIER ADVISORS, INC.  
☒ is attached. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.  
☐ will follow.  
☐ has been filed in the prior application

- ☐ Small Entity Statement(s) **ENCLOSED**.  
☐ Small Entity Statement filed in prior application. Status still proper and desired.

- ☐ Information Disclosure Statement (IDS) PTO-1449  
☐ Copies of IDS Citations.

- ☐ Preliminary Amendment

- ☒ Return Receipt Postcard

- ☐ Other

- ☐ Cancel in this application original claims \_ of the prior application before calculating the filing fee.

The filing fee has been calculated as shown below:

FOR	(Col. 1) <u>No. Filed</u>	(Col. 2) <u>No. Extra</u>	Small Entity <u>Rate</u>	<u>Fee</u>	OR	Other Than A Small Entity <u>Rate</u>	<u>Fee</u>
Basic Fee				\$355.00			\$710.00
Total Claims	35	-20 =	15	x 9 =		x 18 =	\$270.00
Ind. Claims	3	-3 =	0	x 40 =		x 80 =	\$0.00
Multiple Dependent Claim				+ 135 =		+ 270 =	
			Total	<u>\$0.00</u>			<u>\$980.00</u>

\* If the difference in Col. 1 is less than zero, enter "0" in Col. 2.

Fee Payment Being Made:

☒ Enclosed

☒ Basic filing fee \$980.00

☒ Recording Assignment \$40.00  
 [\$40.00; 37 CFR 1.21(h)]

Total Fees Enclosed \$1,020.00

☒ A check in the amount of \$1,020.00 to cover filing fee and assignment recordation fee is enclosed.

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PATENT

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Priority

- ☐ Priority of application Country \_\_, Appln. No. \_\_ filed \_\_ is claimed under 35 U.S.C. 119.
- ☐ Certified Copy of Priority Document(s) Country \_\_, Appln No. \_\_, filed \_\_.
- ☐ is/are attached ☐ will follow ☐ has been filed in the parent application S/N \_\_.
- ☒ The Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 CFR 1.16, 1.17, and 1.21(h) associated with this communication or credit any overpayment to Deposit Account No. 02-4377. Two copies of this sheet are enclosed.

BAKER BOTTS L.L.P.

By



Gary Abelev

PTO Registration No. 40,479

Enclosures